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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
HOWES, et al

Application No.: 09/954,507

Filed: September 12, 2001

For: METHOD AND APPARATUS FOR  
MAINTAINING CONNECTION STATE  
BETWEEN A CONNECTION  
MANAGER AND A FAILOVER DEVICE

Atty. Docket No.: CISC041C1

Examiner: Unassigned

Group: 2663

Date: January 18, 2002

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Technology Center 2600

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on January 18, 2002.

Signed: \_\_\_\_\_

*Pat Tate*

Pat Tate

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§1.56 AND 1.97(c) BEFORE MAILING OF A FIRST OFFICE ACTION

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

The references listed in the attached PTO Form 1449 may be material to examination of the above-identified patent application. Applicants submit the list of these references in compliance with their duty of disclosure pursuant to 37 CFR §§1.56 and 1.97. The Examiner is requested to make these references of official record in this application. The above-identified application is a continuation of prior application U.S. Patent Application No. 09/107,261. This prior application is being relied upon for an earlier filing date under 35 U.S.C. § 120. Because

the listed references were either cited by the PTO, or submitted to the PTO in the prior application, under 37 CFR § 1.98(d) Applicants submit that copies need not be provided.

This Information Disclosure Statement is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that these references indeed constitute prior art.

This Information Disclosure Statement is believed to be filed before the mailing date of a first Office Action on the merits. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement. However, if it is determined that any fees are due, the Commissioner is hereby authorized to charge such fees to Deposit Account 50-0685 (Order No. CISCPO41C1).

Respectfully submitted,

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| <b>Form 1449 (Modified)</b><br><br><b>Information Disclosure<br/>Statement By Applicant</b><br><br>(Use Several Sheets if Necessary) | Atty Docket No.: CISC041C1<br>Application No.: 09/954,507<br>Inventor: HOWES, et al<br>Group: 2663<br>Filing Date: September 12, 2002 |
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**U.S. Patent Documents**

| Examiner Initial | No. | Patent No. | Date        | Patentee          | Class | Sub-Class | Filing Date            |
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|                  | J   |            |             |                   |       |           |                        |
|                  | K   |            |             |                   |       |           | Technology Center 2600 |

**Foreign Patent or Published Foreign Patent Application**

| Examiner Initial | No. | Document No. | Publication Date | Country or Patent Office | Class | Sub-class | Translation |    |
|------------------|-----|--------------|------------------|--------------------------|-------|-----------|-------------|----|
|                  |     |              |                  |                          |       |           | Yes         | No |
|                  | L   | WO 97/05727  | Feb 2, 1997      | PCT                      |       |           |             | x  |
|                  | M   |              |                  |                          |       |           |             |    |
|                  | N   |              |                  |                          |       |           |             |    |
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|                  | P   |              |                  |                          |       |           |             |    |

**Other Documents**

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|                  | S   |  |
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|          |                 |
|----------|-----------------|
| Examiner | Date Considered |
|----------|-----------------|

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.